

# TEXAS A&M AGRILIFE

Records Management | *Bob Hensz*

administrative services

risk and compliance

## Overview



- What is a State Record?
- Paper Records vs Electronic Records
- Records Retention
- Filing Records
- Records Management in Laserfiche
- Records Destruction

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## What is a State Record?



- "Any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of state business or use of public resources.

Tx Govt Code §441.180(11)

## State Records (cont)



- Convenience Copies vs Record Copies
- Vital Records
- Permanent Records
- Archival Records

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# Paper or Electronic?



- Paper Records
  - Filing
    - Locations
    - File plan
  - Security/Protection
  - Records Inventory

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## Paper or Electronic? (cont)



- Electronic
  - Format
    - Word/Excel/PPT/etc
    - PDF/PDFA
  - Storage
    - Servers
    - Desktop/Hard Drives
    - Laserfiche
    - Backups

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## Paper or Electronic? (cont)



- Managing Electronic Records
  - Unalterable format
  - Backups
  - Metadata/Tagging
  - File Plan
  - Controlled Access
  - Records Inventory

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## Paper or Electronic? (cont)



- Email
  - State Record?
  - Retention Schedule Item?
  - Retention
  - Responsibilities
    - Records Coordinator
    - User
    - AIT

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# Retention



- Retention Schedule
  - Retention Period
  - Calculating Retention Period
- Retaining Beyond Retention Schedule
  - Reasons for retention beyond schedule
  - Documentation
  - Consequences for retaining “because...”

# Laserfiche



- Work in Progress Folders
  - Temporary
  - Treat as In-Basket
- Numbered Record Series Folder Use
- Access Control
- RM applies to Record Folder

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# Laserfiche



- Where to file
  - Correspondence
    - General
    - Administrative
  - Program Files
  - Unit Files vs Administrative Services Files

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# Laserfiche



- Unit File Structures
  - By Fiscal Year
  - By Program
  - By Individual
  - Permanent
  - Vital records

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# Laserfiche



- Records Folder Properties
  - Cutoff Instructions

Designate records within this collection as permanent

Cutoff Instruction

Name: AC

Type: Event (All)      Cycle: N/A

Interval: N/A      Location: N/A

Linked Document Action: N/A      Document Relationship: N/A

- Retention Schedule

Retention Schedule

Name: 5 years

Final Disposition Type: Destruction      Retain for: 5 year(s), 0 month(s)

Final Disposition Location: N/A      Keep Metadata: No

Alt. Retention Event: N/A      Alt. Ret. Schedule: N/A

Vital Records

Designate records within this collection as vital       Review Cycle: [ ]

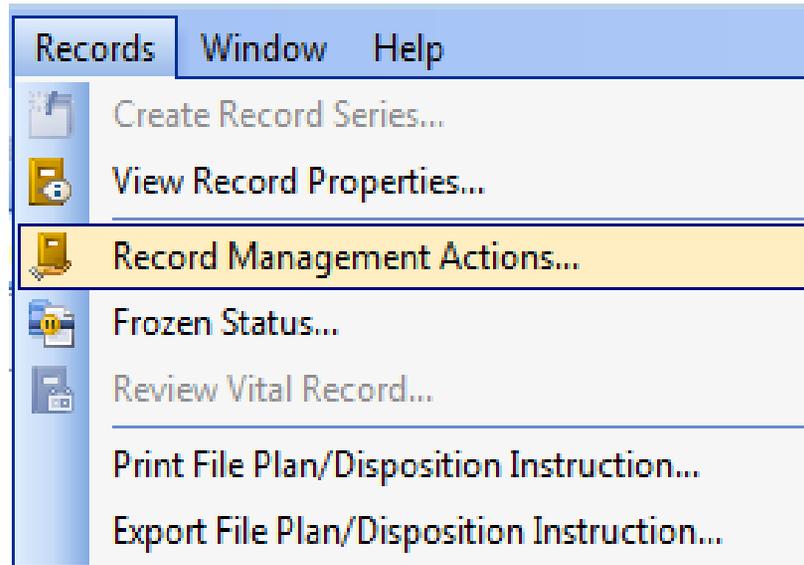
Laserfiche

## Records Management in Laserfiche

- Set Event Date
- Cutoff record
- Retention
- Destroy
- Records Management Search

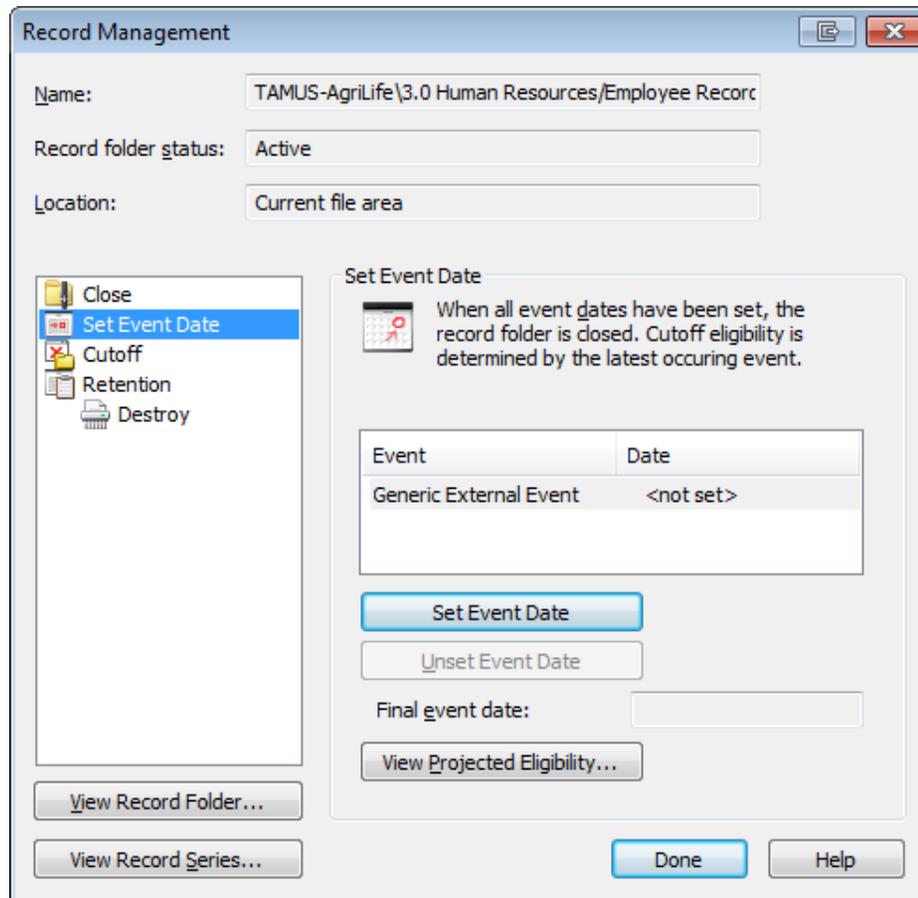
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# Records Management Actions

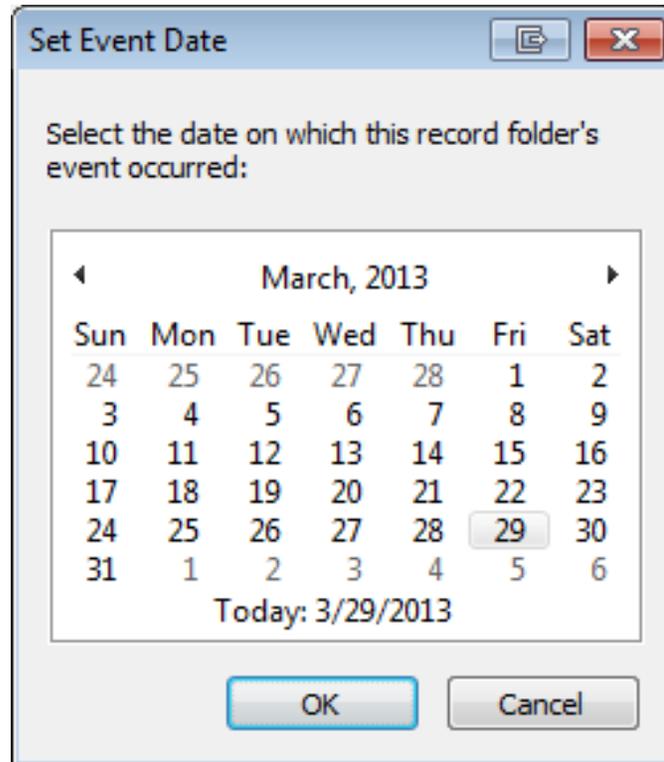


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# Records Management Actions

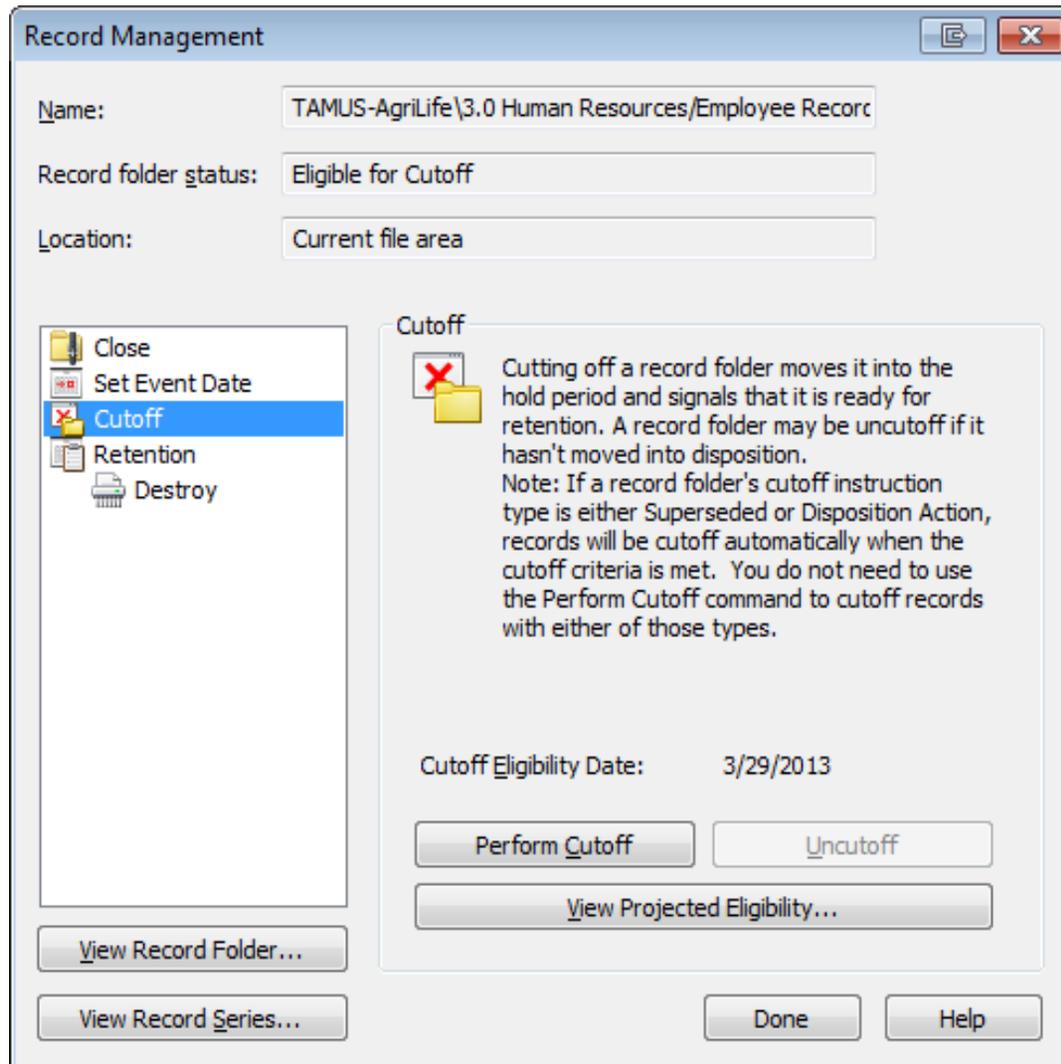


# Set Event Date



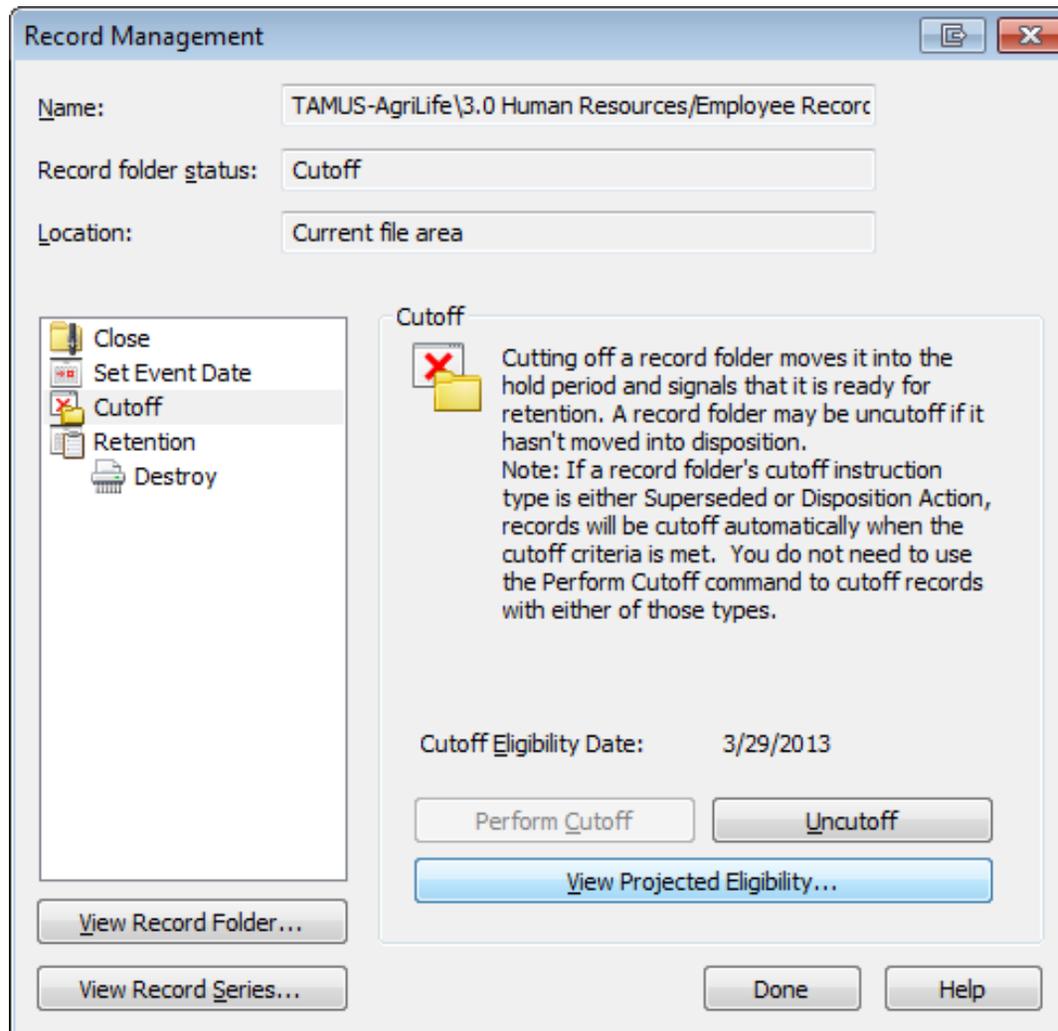
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# Cutoff



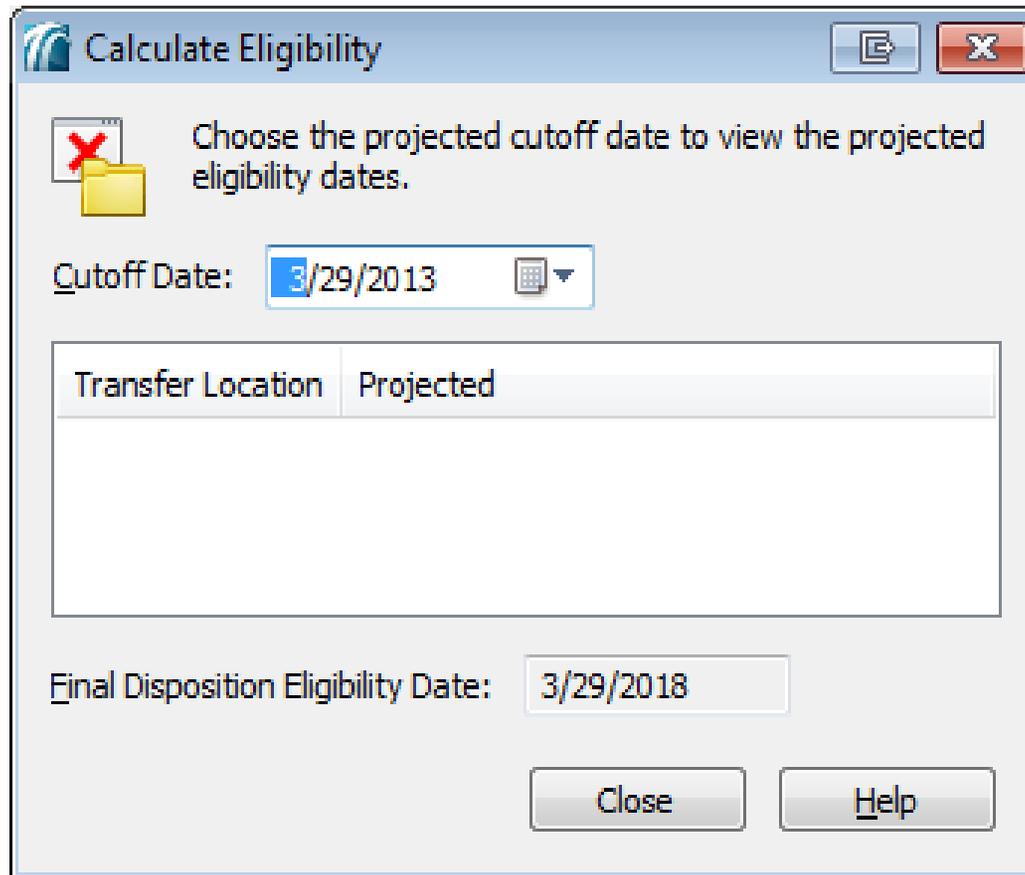
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# UnCutoff/View Eligibility



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# Calculate Eligibility



Calculate Eligibility

Choose the projected cutoff date to view the projected eligibility dates.

Cutoff Date: 3/29/2013

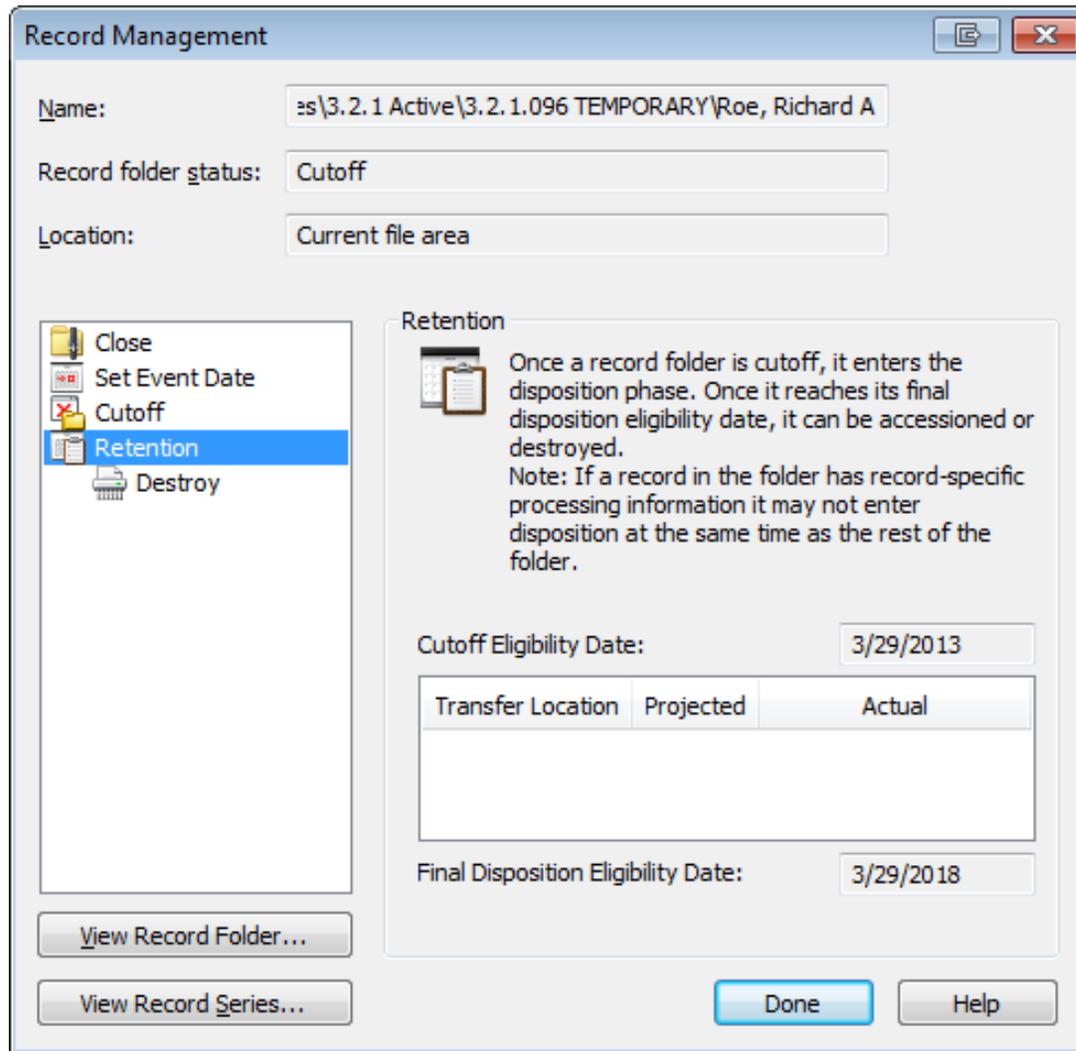
Transfer Location	Projected
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Final Disposition Eligibility Date: 3/29/2018

Close Help

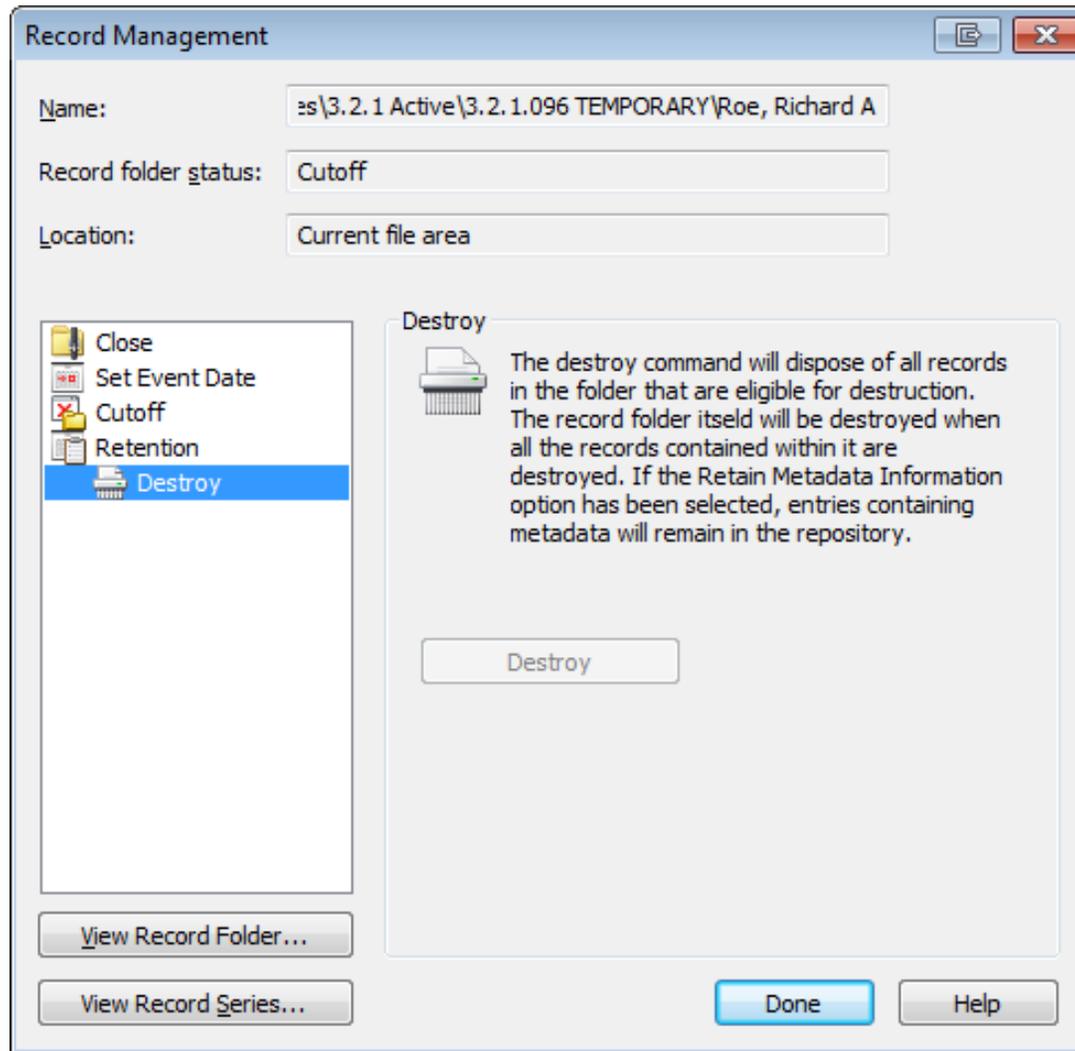
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# Retention



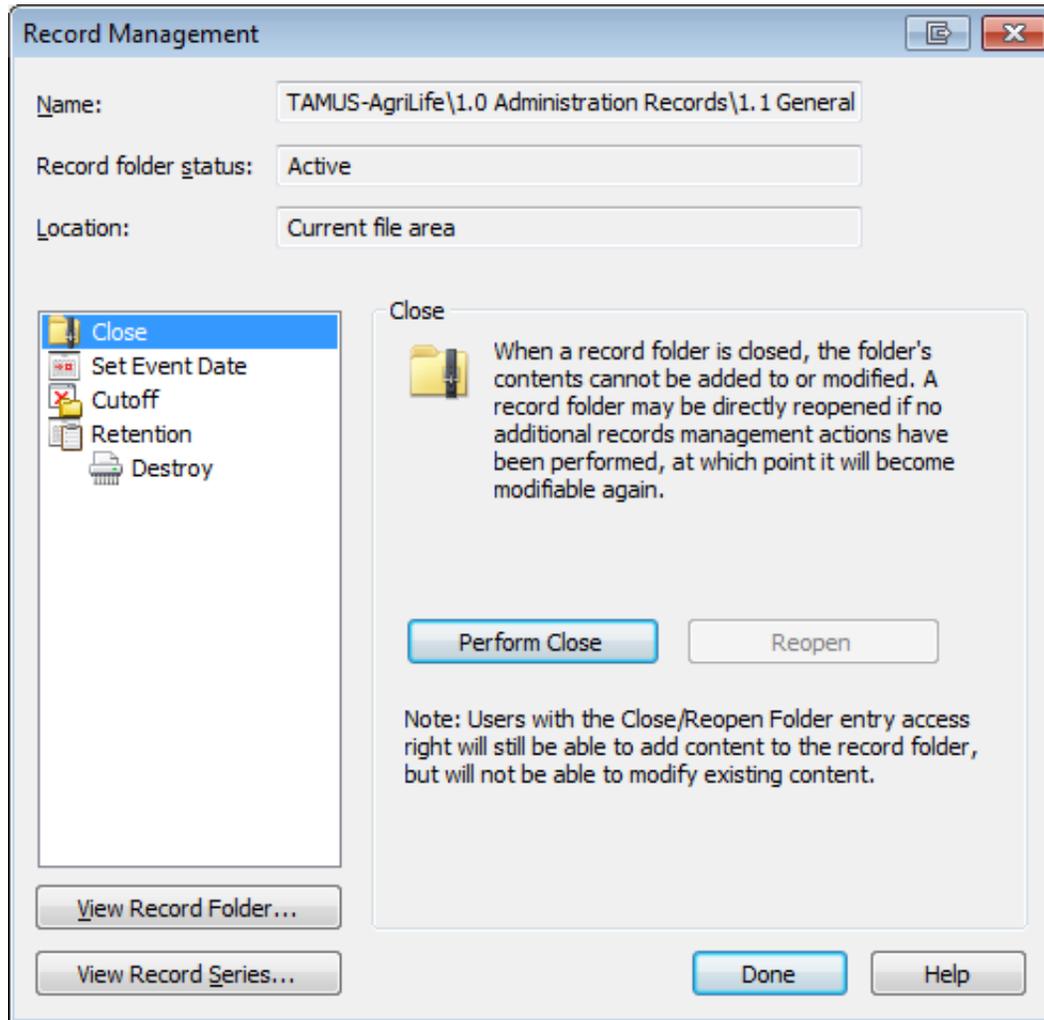
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# Destroy



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# Close a Record



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# Freeze a Record

**Frozen Status**

Freezing records will suspend the disposition of records that should not be destroyed on schedule. Frozen records can later be unfrozen.

Freeze the selected records

Enter a reason for freezing the selected records:

The following freezes apply to the selected records:

Name	Freeze Reason	Freeze Date

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# Records Management Search



**Cutoff**

Already cutoff

Due for cutoff before

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**Disposition**

Search for records with the following disposition action:

Accession

Destruction

Transfer

None

---

Find records that are:

Currently eligible for disposition

Eligible from

to

---

**Event Type**

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# Disposition



- Disposition
  - Retain Permanent
  - Accession
    - TSLAC
    - TAMU Library Archives
  - Destruction
    - IAW Retention Schedule
    - Authorization
    - Emergency Destruction

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# Destruction



- AG-703 Records Destruction Form
  - Header
  - Retention Schedule Agency Item Number – list all applicable numbers

Records Series Item No.	Agency Item No.	Record Series Title	Retention Period
<b>ADMINISTRATION RECORDS</b>			
<b>Section 1.1 - General</b>			
1.1.002	01.100.10	Audits – Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency audits	AC+7

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## Destruction (cont)



- Description of Folder/Box Contents
  - ID what the record is – NOT just the retention schedule description
  - Listing Multiple Records – List first and last record in the group i.e. Adams to Zebra
  - Inclusive Dates – i.e. personnel files list termination dates
- Remember: Just because a record is no longer used, does not allow destruction

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## Emergency Destruction



- Destruction **Prior** to the End of the Retention Period
  - Must be authorized by TSLAC
  - Request goes through Agency Records Officer to System Records Officer, to TSLAC
  - Allow about 4-6 weeks for approval
  - Requires solid justification
- How to avoid? Use Laserfiche for State Records!

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## Records Management Support



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